



## Goddard Procedures and Guidelines

**DIRECTIVE NO.** GPG 1440.7D  
**EFFECTIVE DATE:** August 2, 2001  
**EXPIRATION DATE:** August 2, 2006

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**NAME:** for A. V. Diaz  
**TITLE:** Director

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**Responsible Office:** 230/Logistics Management Division

**Title:** Records Control

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### PREFACE

#### P1. PURPOSE

This Goddard Procedures and Guidelines (GPG) establishes the process for control of records necessary to ensure compliance with GPG 8730.3, GSFC Quality Manual.

#### P2. APPLICABILITY

This GPG only applies to records identified in Goddard Space Flight Center (GSFC) Quality Management System (QMS) documents and pertinent subcontractor records maintained by GSFC. The management of all GSFC records is addressed in NPD 1440.6, NASA Records Management, and NPG 1441.1, NASA Records Retention Schedules.

#### P3. AUTHORITY

- a. NPD 1440.6, NASA Records Management
- b. NPD 8730.3, NASA Quality Management System Policy (ISO 9000)

#### P4. REFERENCES

- a. NPG 1441.1, NASA Records Retention Schedules
- b. GPG 1410.1, Directives Management
- c. GPG 1410.2, Configuration Management
- d. [Form GSFC 22-66, Records List](#)

#### P5. CANCELLATION

GPG 1440.7C, Control of Quality Records

#### P6. RECORDS

None.

## PROCEDURE

### 1. DEFINITIONS

- a. **Agency Filing Scheme (AFS):** A list of subject identification codes contained in NPG 1441.1 intended for use in filing NASA-owned records.
- b. **Logistics Management Division (LMD):** The LMD is the organization responsible for the overall direction of records management at GSFC, and will provide technical assistance and procedural advice as needed on the creation, maintenance, use, and disposition of records.
- c. **NASA Records Retention Schedules (NRRS):** The Agency document (NPG 1441.1) that provides the mandatory instructions for handling records no longer needed for current government business. The NRRS also provides the authority for the final disposition of records.
- d. **Objective Evidence:** Information, which can be proved true, based on facts obtained through observation, measurement, test, or other means.
- e. **Office of Primary Responsibility (OPR):** The organization having the responsibility for the process/procedures for the delivery of the product or services to the customer.
- f. **Originator (ORIG):** Person or organization responsible for creating records in accordance with GPG's, PG's, and WI's.
- g. **Record :** All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government" [44 U.S. Code, Chapter 33, Section 3301] and needed to document Agency activities or actions.

Records must be readily traceable to and meet all specific requirements defined in the relevant QMS documentation (GPG's, PG's and WI's).

Examples of records are: *completed* Work Order Authorizations (WOA's), on-the-job (OJT) training records, nonconformance reports (NCR's), and routing sheets demonstrating required review of customer agreements or contracts.

- h. **Records Custodian (RC):** The individual responsible for collecting, indexing, accessing, filing, storing, maintaining, and dispositioning records.
- i. **Retention Schedule:** Mandatory instructions for handling records no longer needed for current government business, with provision of authority for final disposition. (See NPG 1441.1.)

### 2. IMPLEMENTATION

The Logistics Management Division (LMD) is responsible for the overall direction of records management at GSFC, and will provide technical assistance and procedural advice as needed on the creation, maintenance, use, and disposition of records.

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## 2.1 Identification

Records resulting from the implementation of the GSFC QMS shall be identified in the records section of the governing QMS document (GPG, PG, WI) in accordance with GPG 1410.1. NPG 1441.1 will be used as a guide for designating retention schedules for each identified record. (For assistance, contact the GSFC Records Manager, Code 231).

**NOTE:** Records lists may be used by an organization as an optional tool to summarize its records, record custodians, locations, retention schedules, etc. Form [GSFC 22-66](#) is available for use from the GSFC Directives Management System.

## 2.2 Filing

Records shall be physically or electronically filed (e.g., by project, product, serial number, etc.) by a method that ensures records are reasonably accessible and retrievable by a user. The Agency Filing Scheme is the preferred method for filing records. (See NPG 1441.1). Storage shall be done to minimize the potential for deterioration or loss of records.

The RC will ensure that active records are readily accessible to meet operational and customer needs.

The RC will establish and implement, if necessary, a method for checking out records that ensures all records are accounted for (e.g., chargeout cards, placeholders, logs, etc.) and will file records so that they are accessible and retrievable in a timely manner.

## 2.3 Storage/Maintenance

The RC will store records in a suitable location that minimizes deterioration, damage, and loss. Consider the factors of temperature, humidity, and light as appropriate to record medium. Isolate paper records that have mold and mildew to prevent spreading. Review the records to determine if they are ready for disposition.

Locking is not required unless the records are sensitive or classified.

## 2.4 Disposition

Records shall be disposed of in accordance with the requirements of NPG 1441.1. In cases where the established record retention period and customer requirements do not agree, the RC will contact the Goddard Records Manager to discuss the possibility of a waiver. If a waiver is justified, the RC will prepare a new or revised schedule for approval in accordance with NPG 1441.1. In the interim, the records in questions will be retained as permanent.

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## CHANGE HISTORY LOG

Revision	Effective Date	Description of Changes
Baseline	08/12/98	
A	10/6/98	Header and footer format changes. Added Quality Records List template. Added sentence to paragraph 2.2 to require storage to prevent potential deterioration or loss of records.
A	03/31/99	The reference to GPG 1310.1 was removed. Paragraph 3 was moved to Preface P6 and a note regarding retention of QRL added. Modified paragraph 2.1 to indicate that quality records will be listed in QRL of the organization responsible for maintaining the records, that a paper copy of the QRL is required, and that the template can be modified only regarding column width in the table. Paragraph 2.2 was modified grammatically. Paragraph 2.3 was modified to indicate that the most stringent retention requirements take precedence. The QRL template and instructions were modified to add a signature/code/date block and to delete the two columns referring to archives. OPR changed to Code 230.
A	04/06/99	Change the QRL entry for responsible individual to require a person's name instead of a position. Added Quality Records List Coordinator to the definitions and responsibility of this person to maintain the QRL in paragraph 2.1
B	08/09/99	This is an ADMINISTRATIVE REVISION only. The revision is required to bring document in line with GPG 1410.1, <b>2.7 Revising Directives</b> , that states: "When a revision is necessary, substantive or non-substantive, the entire directive must be reissued in accordance with the process for issuing new directives described in this GPG."
C	09/30/99	<ul style="list-style-type: none"> <li>• P1 Expanded Purpose</li> <li>• P3 Added NPD 1440.6, NASA Records Management</li> <li>• P6 Changed to "NONE"</li> <li>• Added definitions for: Agency Filing Scheme, Disposition, Federal Records Center, Logistics Management Division, NARA, NASA Records Retention Schedules, Objective Evidence, OPR, Originator, Quality Records List, Record, and Retention Schedule.</li> <li>• 2. Implementation – Expanded to include detailed instructions</li> <li>• Deleted the QRL form GSFC 22-66 from the document and changed all references from Appendix A to read (see GSFC 22-66).</li> </ul>

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**CHANGE HISTORY LOG** *Continued*

<b>Revision</b>	<b>Effective Date</b>	<b>Description of Changes</b>
D	08/02/01	<ul style="list-style-type: none"><li>General re-write to: (1) delete distinctions between "quality" records and records, (2) delete the mandatory requirement for a Quality Records List, and (3) delete some definition pertaining to records management already addressed in the NPG 1441.1 and NPD 1440.6.</li></ul>